

| <div style="display: flex; justify-content: space-between;"> <span>RECEIVED</span> <span>Box 5631/\$</span> </div> <div style="display: flex; justify-content: space-between;"> <span>CERTIFICATE OF MAILING</span> <span>SEP 06 2000</span> </div>  |  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
|--|--|---|---|-----------------|---|----------------------|------------------|--------------------|------------|-------------|----------------|----------------|------|---------------|-----------|--|--|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231  |  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>Typed or Printed Name</b>   | Mathew Otts <span style="float: right;">TECH CENTER 1600/2900</span>   |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>Signature</b>   |  | <b>Date</b>   | August 28, 2000 <span style="float: right;">SEP - 5 2000</span> |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <div style="text-align: center;"> <b>TRANSMITTAL FORM</b><br/> <i>(to be used for all correspondence after initial filing)</i> </div> <div style="text-align: center; margin-top: 20px;"> </div>   |  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Attorney Docket</td> <td style="width: 50%;">1481.002 <span style="float: right;">TECH CE: 90/290</span></td> </tr> <tr> <td>First Named Inventor</td> <td>Williams, et al.</td> </tr> <tr> <td>Application Number</td> <td>09/297,648</td> </tr> <tr> <td>Filing Date</td> <td>March 10, 2000</td> </tr> <tr> <td>Group Art Unit</td> <td>1631</td> </tr> <tr> <td>Examiner Name</td> <td>J. Brusca</td> </tr> <tr> <td colspan="2" style="padding: 5px;">           Title: "HUMAN GENES AND GENE EXPRESSION PRODUCTS II"         </td> </tr> </table>   |   | Attorney Docket | 1481.002 <span style="float: right;">TECH CE: 90/290</span> | First Named Inventor | Williams, et al. | Application Number | 09/297,648 | Filing Date | March 10, 2000 | Group Art Unit | 1631 | Examiner Name | J. Brusca | Title: "HUMAN GENES AND GENE EXPRESSION PRODUCTS II" |  |
| Attorney Docket  | 1481.002 <span style="float: right;">TECH CE: 90/290</span>  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| First Named Inventor   | Williams, et al.   |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| Application Number   | 09/297,648   |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| Filing Date  | March 10, 2000   |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| Group Art Unit   | 1631   |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| Examiner Name  | J. Brusca  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| Title: "HUMAN GENES AND GENE EXPRESSION PRODUCTS II"   |  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>ENCLOSURES (check all that apply)</b>   |  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input checked="" type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement, 1449 and<br><input type="checkbox"/> references<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 ( <i>with copy of Notice to File Missing Parts</i> ) | <input type="checkbox"/> Issue Fee Transmittal ( <i>with copy of PTOL-85B</i> )<br><br><input type="checkbox"/> Formal Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition Routing Slip and Accompanying Petition<br><br><input type="checkbox"/> To Convert a Provisional Application<br><br><input type="checkbox"/> Power of Attorney<br><input type="checkbox"/> Revocation<br><input type="checkbox"/> Associate<br><br><input type="checkbox"/> Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Small Entity Statement | <input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> After Allowance Communication to Group<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Additional Enclosure(s) ( <i>please identify below</i> ):<br>1) Preliminary Amendment, Response to Restriction Requirement and Notice to Comply (w/copy of Notice to Comply)<br>2) Sequence Listing (hard copy and diskette)<br>3) Statement Regarding Sequence Listing<br>4) Return Postcard |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>  |  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>Individual Name</b>   | Karl Bozicevic   | <b>Registration No.</b>   | 28,807  |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>Firm Name</b>   | BOZICEVIC, FIELD & FRANCIS LLP   |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>Signature</b>   |  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |
| <b>Date</b>  | August 28, 2000  |   |   |                 |   |                      |                  |                    |            |             |                |                |      |               |           |  |  |

# FEE TRANSMITTAL

Note: Effective October 1, 1998.  
Patent fees are subject to annual revision.

AUG 30 2000



|                        |                  |                       |
|------------------------|------------------|-----------------------|
| Attorney Docket Number | 2300-1481        | RECEIVED              |
| First Named Inventor   | Williams, et al. |                       |
| Application Number     | 09/297,648       | SEP - 5 2000          |
| Filing Date            | March 10, 2000   |                       |
| Group Art Unit         | 1631             | TECH CENTER 1600/2900 |
| Examiner Name          | J. Brusca        |                       |

## METHOD OF PAYMENT

- Check Is Enclosed
- ☒ The Commissioner is hereby authorized to charge the following and any additional fees including fees required under 37 CFR 1.16 and 1.17 and credit any overpayments to: Deposit Account No. 50-0815.  
Deposit Account Name: Bozicevic, Field & Francis LLP

## FEE CALCULATION

### 1. FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Due |
|----------------|-----------------|----------------|-----------------|------------------------|---------|
| 101            | 690             | 201            | 345             | Utility filing fee     | \$      |
| 102            | 310             | 206            | 155             | Design filing fee      |         |
| 104            | 480             | 207            | 240             | Plant filing fee       |         |
| 109            | 690             | 208            | 345             | Reissue filing fee     |         |
| 110            | 150             | 214            | 75              | Provisional filing fee |         |
| Subtotal (1)   |                 |                |                 |                        | \$      |

### 2. CLAIMS

| No. of claims as filed or after amendment |    | Most claims previously paid |    | Extra claims |    | Fee from below |    | Fee Due   |
|---|----|-----------------------------|----|--------------|----|----------------|----|-----------|
| Total claims                              | 89 | -                           | 21 | =            | 68 | x              | 18 | = \$1,224 |
| Ind. claims                               | 20 | -                           | 04 | =            | 16 | x              | 78 | = \$1,248 |
| Multiple Dependent claims                 |    |                             |    |              |    | x              |    | =         |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description                                      |
|----------------|-----------------|----------------|-----------------|--|
| 103            | 18              | 203            | 9               | Claims in excess of 20                               |
| 102            | 78              | 202            | 39              | Independent claims in excess of 3                    |
| 104            | 260             | 204            | 130             | Multiple dependent claim                             |
| 109            | 78              | 209            | 39              | Reissue independent claims over original patent      |
| 110            | 18              | 210            | 9               | Reissue claims in excess of and over original patent |
| Subtotal (2)   |                 |                |                 | \$2,472.00   |

### 3. ADDITIONAL FEES

| Large Fee Code      | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Due |
|---------------------|-----------------|----------------|-----------------|--|---------|
| 105                 | 130             | 205            | 65              | Surcharge - late filing fee or oath                            |         |
| 139                 | 130             | 139            | 130             | Non-English specification                                      |         |
| 115                 | 110             | 215            | 55              | Ext. for reply within first month                              | 110     |
| 117                 | 870             | 217            | 435             | Ext. for reply within third month                              |         |
| 128                 | 1,850           | 228            | 925             | Ext. for reply within fifth month                              |         |
| 120                 | 300             | 220            | 150             | Filing brief in support of appeal                              |         |
| 140                 | 110             | 240            | 55              | Petition to revive - unavoidable                               |         |
| 142                 | 1,210           | 242            | 605             | Utility issue fee (or reissue)                                 |         |
| 123                 | 50              | 123            | 50              | Petitions related to prov. appl.                               |         |
| 146                 | 690             | 246            | 345             | Filing submission after final rejection (37 CFR 1.129(a))      |         |
| 112                 | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action         |         |
| 143                 | 430             | 243            | 215             | Design issue fee   |         |
| 581                 | 40              | 581            | 40              | Recording patent assignment                                    |         |
| 127                 | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet         |         |
| 147                 | 2,520           | 147            | 2,520           | Filing a request for reexamination                             |         |
| 116                 | 380             | 216            | 190             | Ext. for reply within second month                             |         |
| 118                 | 1,360           | 218            | 680             | Ext. for reply within fourth month                             |         |
| 119                 | 300             | 219            | 150             | Notice of Appeal   |         |
| 121                 | 260             | 221            | 130             | Request for oral hearing                                       |         |
| 141                 | 1,210           | 241            | 605             | Petition to revive - unintentional                             |         |
| 122                 | 130             | 122            | 130             | Petitions to the Commissioner                                  |         |
| 126                 | 240             | 126            | 240             | Submission of IDS  |         |
| 149                 | 690             | 249            | 345             | For each additional invention to be examined (37 CFR 1.129(b)) |         |
| 113                 | 1840*           | 113            | 1840*           | Requesting publication of SIR after Examiner action            |         |
| 144                 | 580             | 244            | 290             | Plant issue fee  |         |
| Other fee (specify) |                 |                |                 |  |         |

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$110.00

TOTAL AMOUNT TO BE CHARGED (\$2,582.00)

| SUBMITTED BY          |   |              |  | Complete (if applicable) |         |
|-----------------------|---|--------------|--|--------------------------|---------|
| Typed or Printed Name | Karl Bozicevic BOZICEVIC, FIELD & FRANCIS LLP |              |  | Reg. Number              | 28,807  |
| Signature             |   |              |  | Deposit Account          | 50-0815 |
|                       | Date  | Aug 28, 2000 |  |                          |         |

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):



- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☒ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

PatentIn Software Program Support (SIRA)

Technical Assistance.....703-287-0200

To Purchase PatentIn Software.....703-306-2600

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE**